

## STATE EMPLOYEES' RETIREMENT SYSTEM

### HISTORY OF POLICY/PROCESS ADOPTIONS AND REVISIONS

<b>Policy/Process</b>	<b>Adoption/Revisions</b>	<b>SERS Contact</b>
Policy for Indemnification of Board Members, Designees, Officers and Employees  2018 POL-BD-01	<ul style="list-style-type: none"> <li>Adopted/Effective - January 14, 2014</li> <li>Revised and Effective – September 12, 2018</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
Actuarial Services Policy  2018 POL-BD-02	<ul style="list-style-type: none"> <li>Adopted/Effective – January 1, 2019</li> </ul>	SERS Executive Office (717) 787-9657
Third Amended Securities Litigation Policy  2019 POL-BD-02	<ul style="list-style-type: none"> <li>Adopted/Effective - May 31, 2006</li> <li>Revised and Effective -April 17, 2013, September 16, 2015, November 13, 2015, May 13, 2015, and May 25, 2017</li> <li>2018 POL-BD-03 Repealed on September 25, 2019.</li> <li>2019 POL-BD-02 Adopted and Effective - September 25, 2019</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
Strategic Planning Process  2019 POL-BD-01	<ul style="list-style-type: none"> <li>Adopted/Effective – July 31, 2019</li> </ul>	SERS Executive Office (717) 787-9657
Board Confidentiality Policy  2018 POL-BD-05	Adopted/Effective - TBD	SERS Office of Chief Counsel (717) 783-7317
Board Education Policy  2017 POL-BD-06	<ul style="list-style-type: none"> <li>Adopted/Effective - July 26, 2017</li> <li>Amended – April 25, 2018</li> <li>Amended – September 12, 2018</li> <li>Amended – February 24, 2021</li> </ul>	SERS Executive Office (717) 787-9657
Policy on Placement Agent Disclosures  2018 POL-BD-15	<ul style="list-style-type: none"> <li>Adopted/Effective - September 12, 2018</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
Policy on Referrals of Investment Opportunities and Service Provider Candidates; Related Communications; Undue Influence  2018 POL-BD-07	<ul style="list-style-type: none"> <li>Adopted/Effective - November 19, 2018</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
SEC “Pay-to-Play” Rule Compliance and Reporting Policy  2018 POL-BD-08	<ul style="list-style-type: none"> <li>Adopted/Effective – September 12, 2018</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
SERS Board Communications Policy  2018 POL-BD-09	<ul style="list-style-type: none"> <li>Adopted/Effective – September 12, 2018</li> </ul>	SERS Communications and Policy Office (717) 787-9657

SERS Board Travel Policy 2018 POL-BD-10	<ul style="list-style-type: none"> <li>• Adopted/Effective - September 12, 2018</li> <li>• Revised and Effective – December 8, 2021</li> </ul>	SERS Executive Office (717) 787-9657
Standards of Conduct for SERS Board <ul style="list-style-type: none"> <li>▪ Ethical Conduct Policy 2018 POL-BD-11</li> <li>▪ Recusal Policy 2018 POL-BD-12</li> <li>▪ SERS Financial Disclosure Policy 2014 POL-HR-05</li> <li>▪ SERS Financial Disclosure Filing Process HR-GAA-01</li> </ul>	<ul style="list-style-type: none"> <li>• Adopted/Effective – September 12, 2018</li> <li>• Adopted/Effective - January 24, 2007</li> <li>• Revised and Effective – September 12, 2018</li> <li>• Adopted/Effective - December 8, 2010</li> <li>• Revised and Effective - September 12, 2018 (<i>Updated July 2022 with new Recusal Form reflecting new Executive Director</i>)</li> <li>• Adopted/Effective - February 22, 2011</li> <li>• Adopted (SERS HR) - February 22, 2011</li> <li>• Revised and Adopted (SERS HR) - June 22, 2017</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
Board Self-Assessment Policy 2018 POL-BD-13	<ul style="list-style-type: none"> <li>• Adopted/Effective - December 5, 2018</li> </ul>	SERS Executive Office (717) 787-9657
Fiduciary Review Policy 2018 POL-BD-14	<ul style="list-style-type: none"> <li>• Adopted/Effective – December 5, 2018</li> <li>• Amended – September 29, 2021</li> </ul>	SERS Executive Office (717) 787-9657
Insider and Personal Trading Policy 2020 POL-BD-01	<ul style="list-style-type: none"> <li>• Adopted – September 30, 2020</li> <li>• Revised – December 2, 2020</li> <li>• Effective – January 1, 2021</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
State Employees’ Retirement Board Compliance Program Charter	<ul style="list-style-type: none"> <li>• Adopted/Effective – September 30, 2020</li> </ul>	SERS Office of Chief Counsel (717) 783-7317
Committee Work Plan Procedures 2021 POL-BD-01	<ul style="list-style-type: none"> <li>• Adopted/Effective – December 8, 2021</li> </ul>	SERS Executive Office (717) 787-9657
Board Consultant Evaluation Procedures 2022 POL-BD-01	<ul style="list-style-type: none"> <li>• Adopted/Effective – July 25, 2022</li> </ul>	SERS Executive Office (717) 787-9657